



IAPD Report

HARRY ERIC KELLER

CRD# 716724

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	8 - 9
Disclosure Information	10



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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

HARRY ERIC KELLER (CRD# 716724)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **04/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	06/09/2021
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023
IA	CWM, LLC	CRD# 155344	09/02/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	CETERA ADVISOR NETWORKS LLC	13572	LANSDALE, PA	06/09/2021 - 06/29/2023
B	VOYA FINANCIAL ADVISORS, INC.	2882	CONSHOHOCKEN, PA	01/01/2004 - 06/09/2021
IA	VOYA FINANCIAL ADVISORS, INC.	2882	CONSHOHOCKEN, PA	01/01/2004 - 06/09/2021

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **27** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 3

Firm Name: **CETERA WEALTH SERVICES, LLC**
Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245
Firm ID#: 13572

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	06/09/2021
B FINRA	General Securities Representative	Approved	06/09/2021
B FINRA	Invest. Co and Variable Contracts	Approved	06/09/2021
B FINRA	Investment Co./Variable Contracts Prin	Approved	06/09/2021
B FINRA	Municipal Securities Principal	Approved	06/09/2021
B FINRA	Municipal Securities Representative	Approved	06/09/2021
B Alabama	Agent	Approved	06/09/2021
B Arizona	Agent	Approved	01/04/2022
B California	Agent	Approved	06/09/2021
B Colorado	Agent	Approved	06/09/2021
B Connecticut	Agent	Approved	06/09/2021
B Delaware	Agent	Approved	06/09/2021
B District of Columbia	Agent	Approved	06/09/2021



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	06/10/2021
B Georgia	Agent	Approved	06/09/2021
B Illinois	Agent	Approved	06/09/2021
B Kentucky	Agent	Approved	06/09/2021
B Maryland	Agent	Approved	06/09/2021
B Massachusetts	Agent	Approved	06/09/2021
B Michigan	Agent	Approved	06/09/2021
B Minnesota	Agent	Approved	06/09/2021
B New Jersey	Agent	Approved	06/09/2021
B New York	Agent	Approved	06/09/2021
B North Carolina	Agent	Approved	06/09/2021
B Ohio	Agent	Approved	01/16/2026
B Pennsylvania	Agent	Approved	06/09/2021
B South Carolina	Agent	Approved	06/09/2021
B Tennessee	Agent	Approved	01/30/2026
B Texas	Agent	Approved	06/09/2021
B Virginia	Agent	Approved	06/09/2021
B Washington	Agent	Approved	06/09/2021
B Wisconsin	Agent	Approved	06/09/2021



Qualifications

Regulator	Registration	Status	Date
B Wyoming	Agent	Approved	07/24/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
 1495 ALAN WOOD RD STE 100
 CONSHOHOCKEN, PA 19428

CETERA ADVISOR NETWORKS LLC
 LAFAYETTE HILL, PA

CETERA ADVISOR NETWORKS LLC
 33 JENKINS AVE
 LANSDALE, PA 19446

Employment 2 of 3

Firm Name: **CWM, LLC**
 Main Address: 14600 BRANCH ST.
 OMAHA, NE 68154
 Firm ID#: 155344

Regulator	Registration	Status	Date
IA Pennsylvania	Investment Adviser Representative	Approved	09/02/2025
IA Texas	Investment Adviser Representative	Approved	09/02/2025

Branch Office Locations

CWM, LLC
 1495 Alan Wood Rd, Ste. 100
 Conshokocken, PA 19428

Employment 3 of 3

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
 Main Address: 1450 AMERICAN LANE
 6TH FLOOR, SUITE 650
 SCHAUMBURG, IL 60173-2096
 Firm ID#: 105644

Regulator	Registration	Status	Date
IA Pennsylvania	Investment Adviser Representative	Approved	06/29/2023
IA Texas	Investment Adviser Representative	Approved	06/29/2023



Qualifications

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
1495 ALAN WOOD RD STE 100
CONSHOHOCKEN, PA 19428

CETERA INVESTMENT ADVISERS LLC
LAFAYETTE HILL, PA






Qualifications

PASSED INDUSTRY EXAMS





This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 3 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	02/22/2008
 General Securities Principal Examination (S24)	Series 24	08/14/2006
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	11/21/1985

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/21/1982
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/07/1980

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/24/1983

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **2** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	06/09/2021 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	LANSDALE, PA
B	01/01/2004 - 06/09/2021	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	CONSHOHOCKEN, PA
IA	01/01/2004 - 06/09/2021	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	CONSHOHOCKEN, PA
IA	10/15/2002 - 01/01/2004	LOCUST STREET SECURITIES, INC.	CRD# 1703	LAFAYETTE HILL, PA
B	04/27/2000 - 01/01/2004	LOCUST STREET SECURITIES, INC.	CRD# 1703	DES MOINES, IA
B	03/31/1995 - 04/27/2000	UNITED SECURITIES ALLIANCE, INC.	CRD# 36487	GREENWOOD VILLAGE
B	06/15/1994 - 03/31/1995	SENTRA SECURITIES CORPORATION	CRD# 10249	PHOENIX, AZ
B	10/07/1983 - 06/13/1994	PFS INVESTMENTS INC.	CRD# 10111	DULUTH, GA
B	08/26/1982 - 05/20/1985	PENN MUTUAL EQUITY SERVICES, INC.	CRD# 4031	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2025 - Present	CWM, LLC DBA CARSON GROUP PARTNERS - CRD # 155344	INVESTMENT ADVISORY REPRESENTATIVE	Y	LANSDALE, PA, United States
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
06/2021 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	El Segundo, CA, United States
01/2009 - Present	FINANCIAL INDEPENDENCE PLANNING	OWNER	Y	LANSDALE, PA, United States
09/2014 - 06/2021	VOYA FINANCIAL ADVISORS	MASS TRANSFER	Y	LANSDALE, PA, United States



Registration & Employment History

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1. NAME OF ENTITY: Financial Independence Planning, LLC; Yes; 33 JENKINS AVE; LANSDALE; PA; 19446; DBA; Owner; 1/1/2009; 160; 160; DBA for advisory services, financial planning, and the sale of securities, insurance, and advisory products.
2. NAME OF ENTITY: FIP REAL ESTATE, LLC; No; 1495 ALAN WOOD RD STE 100; CONSHOHOCKEN; PA; 19428; COMMERCIAL REAL ESTATE RENTAL; CEO/PRESIDENT/OWNER; 10/30/2015; 10; 5; MANAGE PROPERTY AND COLLECT RENT
3. NAME OF ENTITY: independent insurance agent; Yes; 454 GERMANTOWN PIKE; LAFAYETTE HILL; PA; 19444; fixed insurance sales; independent insurance agent; 4/27/2000; 160; 160; sales and service of fixed insurance products
4. NAME OF ENTITY: Harry Keller Residential Real Estate Rental; No; 4 Pear Tree Lane; Lafayette Hill; PA; 19444; Residential Rental; Owner; 12/1/2019; 1; 0; Manage property and collect rent;
5. NAME OF OTHER BUSINESS: CWM, LLC DBA CARSON GROUP PARTNERS - CRD # 155344
INVESTMENT RELATED: YES
ADDRESS: SAME AS REGISTERED LOCATION
NATURE OF BUSINESS: SEC REGISTERED INVESTMENT ADVISORY FIRM THAT PROVIDES PORTFOLIO MANAGEMENT, FINANCIAL PLANNING, ESTATE PLANNING AND ADDITIONAL ADVISORY SERVICES
POSITION/TITLE/RELATIONSHIP: INVESTMENT ADVISORY REPRESENTATIVE
START DATE: 9/2025;
APX NUMBER OF HOURS PER WEEK: 40
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5
BRIEF DESCRIPTION OF DUTIES: INVESTMENT ADVISOR PROVIDING ADVISORY SERVICES TO ITS CLIENTS, INCLUDING DISCRETIONARY INVESTMENT MANAGEMENT AND FINANCIAL GUIDANCE;



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UNITED SECURITIES ALLIANCE, INC
Allegations:	CLIENT INVESTED \$150000.00 IN PRODUCTS THAT DECREASED IN VALUE AND WERE MISREPRESENTED TO HIM. CLIENT CLAIMS HE WOULD BE ASSESSED A PENALTY FOR SELLING HIS PRODUCTS AND THAT HE WAS NOT MADE AWARE OF THIS. CLIENT PURCHASED PRODUCTS IN SUMMER 1999
Product Type:	Mutual Fund(s)
Alleged Damages:	\$75,000.00

Customer Complaint Information

Date Complaint Received:	10/01/2004
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	05/19/2004
Settlement Amount:	
Individual Contribution Amount:	



End of Report

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